

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**900.00****Complete if Known**

| | |
|----------------------|------------------|
| Application Number | 08/838,452 |
| Filing Date | April 7, 1997 |
| First Named Inventor | FARNWORTH et al. |
| Examiner Name | KARLSEN, E. |
| Group Art Unit | 2858 |
| Attorney Docket No. | 91-62.17 |

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

07-1857

Deposit
Account
Name

Stephen A. Gratton

☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status.
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|-------------------------------|-------------------------------|------------------------|
| 101 710 | 201 355 | Utility filing fee |
| 106 320 | 206 160 | Design filing fee |
| 107 490 | 207 245 | Plant filing fee |
| 108 710 | 208 355 | Reissue filing fee |
| 114 150 | 214 75 | Provisional filing fee |

Fee Paid

710

SUBTOTAL (1) (\$)**710****2. EXTRA CLAIM FEES**

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 14 | -20** = 0 | 18 | 0 |
| 4 | -3** = 1 | 80 | 80 |
| Multiple Dependent | | | |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|-------------------------------|-------------------------------|--|
| 103 18 | 203 9 | Claims in excess of 20 |
| 102 80 | 202 40 | Independent claims in excess of 3 |
| 104 270 | 204 135 | Multiple dependent claim, if not paid |
| 109 80 | 209 40 | ** Reissue independent claims over original patent |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)**80**

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for <i>ex parte</i> reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | 110 |
| 116 390 | 216 195 | Extension for reply within second month | |
| 117 890 | 217 445 | Extension for reply within third month | |
| 118 1,390 | 218 695 | Extension for reply within fourth month | |
| 128 1,890 | 228 945 | Extension for reply within fifth month | |
| 119 310 | 219 155 | Notice of Appeal | |
| 120 310 | 220 155 | Filing a brief in support of an appeal | |
| 121 270 | 221 135 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,240 | 241 620 | Petition to revive - unintentional | |
| 142 1,240 | 242 620 | Utility issue fee (or reissue) | |
| 143 440 | 243 220 | Design issue fee | |
| 144 600 | 244 300 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Petitions related to provisional applications | |
| 126 240 | 126 240 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 710 | 246 355 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 149 710 | 249 355 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 710 | 279 355 | Request for Continued Examination (RCE) | |
| 169 900 | 169 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**110****SUBMITTED BY**

| | |
|-------------------|--------------------|
| Name (Print/Type) | Stephen A. Gratton |
| Signature | |

Registration No.
(Attorney/Agent)

28,418

Complete (if applicable)

Telephone 303 989 6353

Date December 7, 2000

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

12-11-00

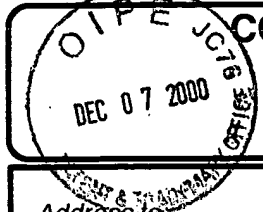
CPA/2858

PTO/SB/29 (10-00)

Approved for use through 10/31/2002. OMB 0851-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing.
(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:
☐ DUPLICATE

#FF/CPA
40
12/13/00
C. McKenny

| | | |
|---|--|------------------|
| Address to: Assistant Commissioner for Patents Box CPA Washington, DC 20231 | Attorney Docket No. of Prior Application | 91-62.17 |
| | First Named Inventor | FARNWORTH et al. |
| | Examiner Name | KARLSEN, E. |
| | Group Art Unit | 2858 |
| | Express Mail Label No. | EK 742 573 304US |

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d),
(continued prosecution application (CPA)) of prior application number 08 / 838,452
filed on 4/7/97, entitled TEST APPARATUS FOR TESTING SEMICONDUCTOR DICE INCLUDING SUBSTRATE WITH PENETRATION LIMITING CONTACTS FOR MAKING...

NOTES

FILING QUALIFICATIONS: The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

C-I-P NOT PERMITTED: A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

EXPRESS ABANDONMENT OF PRIOR APPLICATION: The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

ACCESS TO PRIOR APPLICATION: The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

35 U.S.C. 120 STATEMENT: In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

- ☐ Enter the unentered amendment previously filed on _____ under 37 CFR 1.116 in the prior nonprovisional application.
- ☒ A preliminary amendment is enclosed.
- This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
 - ☐ **DELETE** the following inventor(s) named in the prior nonprovisional application:
.....
 - ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
- ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
- Information Disclosure Statement (IDS) is enclosed: 12/12/2000 GTEFFERA 00000099 00838452
 - ☒ PTO-1449 01 FC:131 710.00 DP
 - ☒ Copies of IDS Citations 02 FC:102 80.00 DP

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| CLAIMS | (1) FOR | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE | (5) CALCULATIONS |
|---|---------|------------------|------------------|-------------------------------|------------------|
| TOTAL CLAIMS (37 CFR 1.16(c) or (j)) | | 14-20* = | 0 | x \$ 18 = | \$ 0 |
| INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i)) | | 4-3** = | 1 | x \$ 80 = | 80 |
| MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) | | | | + \$ _____ = | |
| | | | | BASIC FEE (37 CFR 1.18) | 710 |
| | | | | Total of above Calculations = | 790 |
| Reduction by 50% for filing by small entity (Note 37 CFR 1.27). | | | | | |
| * Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent. | | | | | TOTAL = 790 |

6. ☐ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.7. The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 07 - 1857:a. ☒ Fees required under 37 CFR 1.16.b. ☒ Fees required under 37 CFR 1.17.c. ☒ Fees required under 37 CFR 1.18.8. ☒ A check in the amount of \$ 900.00 is enclosed.9. ☐ Payment by credit card. Form PTO-2038 is attached.10. ☐ Applicant requests suspension of action under 37 CFR 1.103(b) for a period of _____ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.11. ☐ New Attorney Docket Number, if desired _____
[Prior application Attorney Docket Number will carryover to this CPA unless a new Attorney Docket Number has been provided herein.]12. a. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A)b. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503)13. ☒ Other: Petition for Extension of Time; Fee Transmittal for F/Y 00**NOTE:***The prior application's correspondence address will carry over to this CPA
UNLESS a new correspondence address is provided below.***14. NEW CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ New correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Name (Print /Type)

Stephen A. Gratton

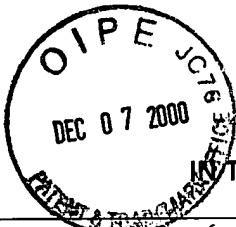
Signature

Registration No. (Attorney/Agent)

28,418

Date

December 7, 2000



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

WARREN M. FARNWORTH
ALAN G. WOOD
TRUNG TRI DOAN
DAVID R. HEMBREE

Serial No. 08/838,452

EXAMINER: KARLSEN, E.

Filing Date: April 7, 1997

ART UNIT: 2858

Title: TEST APPARATUS FOR TESTING SEMICONDUCTOR
DICE INCLUDING SUBSTRATE WITH PENETRATION
LIMITING CONTACTS FOR MAKING ELECTRICAL CONNECTIONS

Docket No.: 91-62.17

TRANSMITTAL LETTER
December 7, 2000

Assistant Commissioner for Patents
BOX CPA
Washington, D.C. 20231

RECEIVED
DEC 12 2000
TECHNOLOGY CENTER 2800

Sir:

Enclosed are the following for filing in the above application:

1. Continued Prosecution Application (CPA) Request Transmittal (in duplicate)
2. A Petition for Extension of Time
3. Fee Transmittal for F/Y 200
4. A check in the amount of \$900 for the CPA filing fee (\$790.00) and the Petition for Extension of Time (\$110.00)
5. A Preliminary Amendment
6. An Information Disclosure Statement along with copies of the cited references
7. A return receipt postcard

Respectfully submitted:

Stephen A. Grafton, Registration No. 28,418
Attorney for Applicants

2764 South Braun Way
Lakewood, CO 80228
Telephone: (303) 989 6245
Fax: (303) 989 6538



CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail No. EK 742 573 304
Date of Deposit: December 7, 2000

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Address" Service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Box CPA, Washington, D.C. 20231.

December 7, 2000
Date of Signature

Stephen A. Grafton
Stephen A. Grafton

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